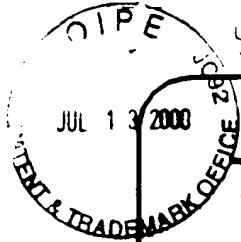


Please type a plus sign (+) inside this circle →



Approved for (Modified) PTO/SB/21 (6-98) through 09/30/2000. OMB 0651-0031
Patent and Trademark Office U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number



TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

19

Application Number

09/539,486

Filing Date

March 30, 2000

First Named Inventor

Sergey A. Selifonov

Group Art Unit

Unassigned

Examiner Name

Unassigned

Attorney Docket Number

02-028940US

ENCLOSURES (check all that apply)



Fee Transmittal Form



Fee Attached



Amendment / Response



After Final



Affidavits/declaration(s)



Extension of Time Request



Express Abandonment Request



Information Disclosure Statement



Certified Copy of Priority Document(s)



Response to Missing Parts/ Incomplete Application



Response to Missing Parts under 37 CFR 1.52 or 1.53



Assignment Papers (for an Application)



Drawing(s)



Licensing-related Papers



Petition Routing Slip (PTO/SB/69) and Accompanying Petition



Petition to Convert to a Provisional Application



Power of Attorney, Revocation Change of Correspondence Address



Terminal Disclaimer



Small Entity Statement



Request for Refund



After Allowance Communication to Group



Appeal Communication to Board of Appeals and Interferences



Appeal Communication to Group (Appeal Notice Brief Reply Brief)



Proprietary Information



Status Letter



Additional Enclosure(s) (please identify below)

Request for Corrected filing receipt, receipt acknowledgment postcard

Authorization to Charge Deposit Account

Please charge Deposit Account No. 50-0893 for any additional fees associated with this paper or during the pendency of this application, including any extensions of time for consideration of the documents enclosed.

Remarks

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name

The Law Offices of Jonathan Alan Quine

Signature

Jonathan A. Quine

Date

7-7-00

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to Assistant Commissioner for Patents, Washington, D.C. 20231 on this date

7/7/00

Typed or printed name

Alexandra Allison

Signature

Alexandra Allison

Date

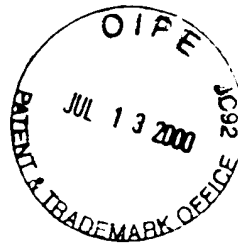
7/7/00

I hereby certify that this correspondence is being deposited with the United States Postal Service first class mail in an envelope addressed to:
Assistant Commissioner for Patents, Washington, D.C. 20231
on 7/7/00

Attorney Docket No. 02-028940US

LAW OFFICES OF JONATHAN ALAN QUINE

By Alexandra Allison
Alexandra Allison



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Sergey A. Selifonov, et al.

Application No.: 09/539,486

Filed: March 30, 2000

For: Methods for Making Character Strings,
Polynucleotides and Polypeptides Having Desired
Characteristics

Examiner: Unassigned

Art Unit: Unassigned

REQUEST FOR CORRECTED FILING
RECEIPT

Assistant Commissioner for Patents
Office of Initial Patent Examination
Customer Service Center
Washington, D.C. 20231

Sir:

Attached is a copy of the official Filing Receipt received from the Patent and Trademark Office in the above-noted application for which issuance of a corrected filing receipt is respectfully requested.

There is an error in that the applicant's information should read as follows:

SERGEY A. SELIFONOV, LOS ALTOS, CA

PHILLIP A. PATTEN, MENLO PARK, CA

LORI GIVER, SUNNYVALE, CA

THIS APPLICATION IS A CIP OF 09/494,282 01/18/2000

AND A CIP OF PCT/US00/12020 01/18/2000



WHICH ARE CIP'S OF 09/416,375 10/12/1999

WHICH IS RELATED TO 60/116,447 01/19/1999

AND RELATED TO 60/118,854 02/05/1999

THIS APPLICATION IS ALSO A CIP OF 09/484,850 01/18/2000

AND A CIP OF PCT/US00/01203 01/18/2000

WHICH IS A CIP OF 09/408,392 09/28/1999

WHICH IS CLAIMS BENEFIT OF 60/118,813 02/05/1999

AND CLAIMS BENEFIT OF 60/141,049 06/24/1999

THIS APPLICATION 09/539,486

IS A CIP OF PCT/US00/01138 01/18/2000

WHICH IS A CIP OF 09/416,837 10/12/1999

THIS APPLICATION 09/539,486

IS ALSO RELATED TO 09/408,393 09/28/1999

The correction is due to an error by the applicant and the fee therefor, pursuant to 37 CFR § 1.19(h), of \$25.00 is to be charged to Deposit Account No 50-0893. Please charge any additional fee or credit overpayment to the Deposit Account No. 50-0893. This petition is submitted in duplicate

Respectfully submitted,

Jonathan Alan Quine, J.D., Ph.D.
Reg. No. 41.261

LAW OFFICES OF JONATHAN ALAN QUINE
P.O. BOX 458
Alameda, CA 94501
(510) 337-7871
Fax (510) 337-7877

FILING RECEIPT



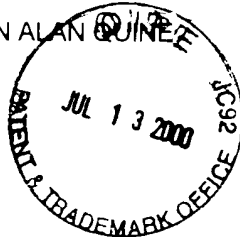
OC000000005128771


 UNITED STATES DEPARTMENT OF
 COMMERCE
 Patent and Trademark Office

 Address ASSISTANT SECRETARY AND
 COMMISSIONER OF PATENT AND TRADEMARKS
 Washington, D.C. 20231

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/539,486	03/30/2000	1651	0	02-028940US	15	98	4

22798

 LAW OFFICES OF JONATHAN ALAN QUINE
 P O BOX 458
 ALAMEDA, CA 94501


JONATHAN ALAN QUINE

Date Mailed: 05/19/2000

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

 SERGEY A. SELIFONOV, MOUNTAIN VIEW, CA; LOS ALTOS
 WILLEM P.C. STEMMER, LOS GATOS, CA;
 CLAES GUSTAFSSON, BELMONT, CA;
 MATTHEW TOBIN, SAN JOSE, CA;
 STEPHEN DEL CARDAYRE, BELMONT, CA;
 PHILLIP A. PATTEN, MOUNTAIN VIEW, CA; MENLO PARK
 JEREMY MINSHULL, MENLO PARK, CA;
 LORI GIVER, REDWOOD CITY, CA; SUNNYVALE

Continuing Data as Claimed by Applicant

THIS APPLICATION IS A CIP OF 09/494,282 01/18/2000

WHICH IS A CIP OF 09/416,375 10/12/1999 PAT. 0571/01202 01/12

WHICH CLAIMS BENEFIT OF 60/116,447 01/19/1999

AND CLAIMS BENEFIT OF 60/118,854 02/05/1999

THIS APPLICATION 09/539,486

IS A CIP OF 09/484,850 01/18/2000

AND A CIP OF PCT/US00/01203 02/18/2000

WHICH IS A CIP OF 09/408,392 09/28/1999

WHICH CLAIMS BENEFIT OF 60/118,813 02/05/1999

AND CLAIMS BENEFIT OF 60/141,049 06/24/1999

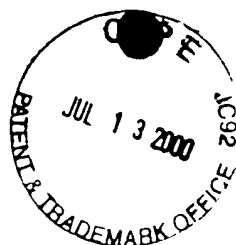
THIS APPLICATION 09539486

IS A CIP OF PCT/US00/01138 01/18/2000

WHICH IS A CIP OF 09/416,837 10/12/1999

Foreign Applications

If Required, Foreign Filing License Granted 05/19/2000



Title

METHODS FOR MAKING CHARACTER STRINGS, POLYNUCLEOTIDES AND
POLYPEPTIDES HAVING DESIRED CHARACTERISTICS

Preliminary Class

435

Data entry by : SYDNOR, RUTH

Team : OIPE

Date: 05/19/2000



**LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 36 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

PLEASE NOTE the following information about the Filing Receipt:

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the

title of an application because a patent application, by nature, is a new idea or improvement.

- The title may be truncated if it consists of more than 600 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."

Any corrections that may need to be done to your Filing Receipt should be directed to:

Assistant Commissioner for Patents
Office of Initial Patent Examination
Customer Service Center
Washington, DC 20231



FILE

UNITED STATES PATENT AND TRADEMARK OFFICE



Bib Data Sheet

SERIAL NUMBER 09/539,486	FILING DATE 03/30/2000 RULE —	CLASS 43
------------------------------------	--	--------------------

APPLICANTS

SERGEY A. SELIFONOV, LOS ALTOS, CA ;
WILLEM P.C. STEMMER, LOS GATOS, CA ;
CLAES GUSTAFSSON, BELMONT, CA ;
MATTHEW TOBIN, SAN JOSE, CA ;
STEPHEN DEL CARDAYRE, BELMONT, CA ;
PHILIP A. PATTEN, MENLO PARK, CA ;
JEREMY MINSHULL, MENLO PARK, CA ;
LORFAINE J. GIVER, SANTA CLARA, CA ;

** CONTINUING DATA *****

THIS APPLICATION IS A CIP OF 09/494,282 01/18/2000
WHICH IS A CIP OF PCT/US00/01202 01/18/2000
WHICH IS A CIP OF 09/416,375 10/12/1999
WHICH CLAIMS BENEFIT OF 60/116,447 01/19/1999
AND CLAIMS BENEFIT OF 60/118,854 02/05/1999
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WHICH CLAIMS BENEFIT OF 60/118,813 02/05/1999
AND CLAIMS BENEFIT OF 60/141,049 06/24/1999
THIS APPLICATION 09/539,486 03/30/2000
IS A CIP OF PCT/US00/01138 01/18/2000
WHICH IS A CIP OF 09/416,837 10/12/1999

** FOREIGN APPLICATIONS *****

IF REQUIRED, FOREIGN FILING LICENSE
GRANTED ** 05/19/2000

Foreign Priority claimed <input type="checkbox"/> yes <input type="checkbox"/> no	STATE OR COUNTRY CA	SHEETS DRAWING 15	TOTAL CLAIMS 98	INDEXED C1
35 USC 119 (a-d) conditions met <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> Met after Allowance				
Verified and Acknowledged	Examiner's Signature	Initials		

ADDRESS

22798

TITLE

METHODS FOR MAKING CHARACTER STRINGS, POLYNUCLEOTIDES AND POLYPEPTIDES HAVING DESIRED CHARACTERISTICS

BEST AVAILABLE COPY

FILING FEE RECEIVED 2302	FEES: Authority has been given in Paper No. _____ to charge/credit DEPOSIT ACCOUNT No. _____ for following:	<table border="1"><tr><td><input type="checkbox"/> All Fees</td></tr><tr><td><input type="checkbox"/> 1.16 Fees (Fling)</td></tr><tr><td><input type="checkbox"/> 1.17 Fees (Processing Ext. of time)</td></tr><tr><td><input type="checkbox"/> 1.18 Fees (Issue)</td></tr><tr><td><input type="checkbox"/> Other _____</td></tr><tr><td><input type="checkbox"/> Credit</td></tr></table>	<input type="checkbox"/> All Fees	<input type="checkbox"/> 1.16 Fees (Fling)	<input type="checkbox"/> 1.17 Fees (Processing Ext. of time)	<input type="checkbox"/> 1.18 Fees (Issue)	<input type="checkbox"/> Other _____	<input type="checkbox"/> Credit
<input type="checkbox"/> All Fees								
<input type="checkbox"/> 1.16 Fees (Fling)								
<input type="checkbox"/> 1.17 Fees (Processing Ext. of time)								
<input type="checkbox"/> 1.18 Fees (Issue)								
<input type="checkbox"/> Other _____								
<input type="checkbox"/> Credit								

BEST AVAILABLE COPY



I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to:
Assistant Commissioner for Patents,
Attn: Box Missing Parts,
Washington, D.C. 20231, on 7/7/00

LAW OFFICES OF JONATHAN ALAN QUINE

By Alexandra Allison
Alexandra Allison

Attorney Docket No. 02-028940US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Sergey A. Selifonov et al.

Examiner: Unassigned

Art Unit: Unassigned

Application No.: 09/539,486

Filed: March 30, 2000

TRANSMITTAL LETTER - RESPONSE
TO NOTICE OF MISSING PARTS

For: **Methods for Making Character Strings,
Polynucleotides and Polypeptides Having
Desired Characteristics**

Attn: Box Missing Parts
Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

Pursuant to the "Notice to File Missing Parts of Application - Filing Date Granted" dated May 19, 2000, enclosed are the following to be made of record in the above-identified application:

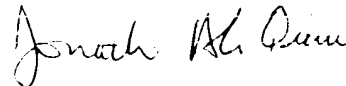
- 1) Executed Declaration
- 2) Power of Attorney and Certificate of Assignee Under 37 C.F.R. § 3.73(b)
(+ copy of Assignment - not for recordation-note: The Assignment for recordation is being sent concurrently under separate cover to Box Assignment, pursuant to the MPEP @ Page 300-M and Form PTO-1619A)
- 3) Copy of Notice of Missing Parts
- 4) Fee transmittal sheet
- 5) Transmittal Sheet
- 6) Receipt indication postcard

Please charge Deposit Account No. 50-0893 for the following fees:

Large entity: (a)	Filing Fee (§ 1.16(a)) (Large Entity)	\$ 690.00
(b)	Excess Claims Fees (§ 1.16(b), (c)):	
	$98 - 20 = 78 \times 18 =$	\$ 1404.00
	$4 - 3 = 1 \times 78 =$	\$ 78.00
(c)	Missing Parts Surcharge	\$ 130.00
TOTAL FEES TO BE CHARGED		\$ 2302.00

The Commissioner is hereby authorized to charge any additional fees associated with this paper or during the pendency of this application, or credit any overpayment, to Deposit Account No. 50-0893. This Transmittal Letter is submitted in duplicate.

Respectfully submitted,



Jonathan Alan Quine, J.D., Ph.D.
Reg. No. 41.261

LAW OFFICES OF JONATHAN ALAN QUINE
P.O. BOX 458
Alameda, CA 94501
(510) 337-7871
Fax (510) 337-7877

FEE TRANSMITTAL
for FY 2000Patent fees are subject to annual revision.
Small entity payments must be supported by a small entity statement
otherwise large entity fees must be paid. See Forms PTO/SB/09-12.**TOTAL AMOUNT OF PAYMENT (\$)** 2327.00**Complete if Known**

Application Number	09/539,486
Filing Date	March 30, 2000
First Named Inventor	Sergey A. Selifonov
Examiner Name	Unassigned
Group / Art Unit	Unassigned
Attorney Docket No.	02-028940US

METHOD OF PAYMENT (check one)

- 1.
- ☒
- The Commissioner is hereby authorized to charge indicated fees and credit any over payments to

Deposit Account Number
Deposit Account Name

50-0893

Law Offices of Jonathan Alan

- ☒
- Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

- 2.
- ☐
- Payment Enclosed:
-
- ☐
- Check
- ☐
- Money Order
- ☐
- Other

FEE CALCULATION**1. BASIC FILING FEE**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101 690	201 345	Utility filing fee	690
106 310	206 155	Design filing fee	
107 480	207 240	Plant filing fee	
108 690	208 345	Reissue filing fee	
114 150	214 75	Provisional filing fee	

SUBTOTAL (1) (\$) 690.00**2. EXTRA CLAIM FEES**

Total Claims	Extra Claims	Fee from below	Fee Paid
98	20** = 78	18	1404
4	3** = 1	78	78
Multiple Dependent			

**or number previously paid, if greater; For Reissues, see below

Large Entity Small Entity

Fee Code (\$)	Fee Code (\$)	Fee Description
103 18	203 9	Claims in excess of 20
102 78	202 39	Independent claims in excess of 3
104 260	204 130	Multiple dependent claim, if not paid
109 78	209 39	** Reissue independent claims over original patent
110 18	210 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) 1482.00**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	130
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for reexamination	
112 920*	112 920*	Requesting publication of SIF prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIF after Examiner action	
115 110	215 55	Extension for reply within first month	
116 380	216 190	Extension for reply within second month	
117 870	217 435	Extension for reply within third month	
118 1,360	218 680	Extension for reply within fourth month	
128 1,850	228 925	Extension for reply within fifth month	
119 300	219 150	Notice of Appeal	
120 300	220 150	Filing a brief in support of an appeal	
121 260	221 130	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,210	241 605	Petition to revive - unintentional	
142 1,210	242 605	Utility issue fee (or reissue)	
143 430	243 215	Design issue fee	
144 580	244 290	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Petitions related to provisional applications	
126 240	126 240	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	
146 690	246 345	Filing a submission after final rejection (37 CFR 1.129(a))	
149 690	249 345	For each additional invention to be examined (37 CFR 1.129(b))	

Other fee (specify) Correction of filing receipt

25

Other fee (specify)

Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 155.00**SUBMITTED BY**

Typed or Printed Name Jonathan Alan Quine

Signature

Jonathan Alan Quine

Date

7-7-00

Complete (if applicable)

Reg. Number

41,261

Deposit Account User ID

CERTIFICATE OF MAILINGI hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, DC 20231 on this date: 7/7/00

Typed or Printed Name

Alexandra Allison

Signature

Alexandra Allison

Date

7/7/00

FORMALITIES LETTER



OC000000005128772

UNITED STATES DEPARTMENT OF
COMMERCE

Patent and Trademark Office

Address: COMMISSIONER OF PATENT AND TRADEMARKS
Washington, D.C. 20231

APPLICATION NUMBER	FILING RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/539,486	03/30/2000	SERGEY A. SELIFONOV	02-028940US

22798
LAW OFFICES OF JONATHAN ALAN QUINE
P O BOX 458
ALAMEDA, CA 94501



Date Mailed: 05/19/2000

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 690 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$1482.
 - \$1404 for 78 total claims over 20.
 - \$78 for 1 independent claims over 3.
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 2302.**

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE